# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

| OMB Number:              | 3235-0287 |  |  |  |  |  |  |  |  |
|--------------------------|-----------|--|--|--|--|--|--|--|--|
| Estimated average burden |           |  |  |  |  |  |  |  |  |
| hours per response:      | 0.5       |  |  |  |  |  |  |  |  |

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b)

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person <sup>*</sup><br>Lehr Donald P. |                        |                     |                                            | er Name <b>and</b> Ticke<br>CIGEN, INC |                   | ymbol              | (Check                                                                                                                                          | tionship of Reportin<br>all applicable)<br>Director<br>Officer (give title | 10% 0                        |                                        |  |  |
|------------------------------------------------------------------------|------------------------|---------------------|--------------------------------------------|----------------------------------------|-------------------|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|------------------------------|----------------------------------------|--|--|
| (Last)<br>20374 SEN                                                    | (First)<br>ECA MEADOWS | (Middle)<br>PARKWAY | 3. Date<br>09/15/                          | of Earliest Transac<br>2020            | ction (Month/D    | ay/Year)           |                                                                                                                                                 | below)                                                                     | gal Officer                  |                                        |  |  |
| (Street)<br>GERMANTOWN MD 20876                                        |                        |                     | 4. If Am                                   | endment, Date of                       | Original Filed (  | Month/Day/Year)    | 6. Individual or Joint/Group Filing (Check Applicable<br>Line)<br>X Form filed by One Reporting Person<br>Form filed by More than One Reporting |                                                                            |                              |                                        |  |  |
| (City)                                                                 | (State)                | (Zip)               |                                            |                                        |                   |                    |                                                                                                                                                 | Person                                                                     | ie tian One Rep              | brung                                  |  |  |
|                                                                        |                        | Table I - Nor       | n-Derivative S                             | ecurities Acq                          | uired, Disp       | osed of, or Benefi | cially                                                                                                                                          | Owned                                                                      |                              |                                        |  |  |
| Date                                                                   |                        |                     | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,          | 3.<br>Transaction |                    |                                                                                                                                                 | 5. Amount of<br>Securities<br>Beneficially                                 | 6. Ownership<br>Form: Direct | 7. Nature<br>of Indirect<br>Beneficial |  |  |

|              | (Month/Day/Year) | if any<br>(Month/Day/Year) | Code (<br>8)            | Instr. | 5)     |               | Beneficially<br>Owned Following<br>Reported | (D) or Indirect<br>(I) (Instr. 4)  | Beneficial<br>Ownership<br>(Instr. 4) |           |
|--------------|------------------|----------------------------|-------------------------|--------|--------|---------------|---------------------------------------------|------------------------------------|---------------------------------------|-----------|
|              |                  |                            | Code                    | v      | Amount | (A) or<br>(D) | Price                                       | Transaction(s)<br>(Instr. 3 and 4) |                                       | (1130. 4) |
| Common Stock | 09/15/2020       |                            | М                       |        | 25,000 | A             | (1)                                         | 256,558                            | D                                     |           |
| Common Stock | 09/16/2020       |                            | <b>S</b> <sup>(2)</sup> |        | 8,474  | D             | \$5.22                                      | 248,084                            | D                                     |           |

## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of  |        | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount<br>of Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |                                        | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|-----------------------------------------------------|-----------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------------------|------------------------------|---|-----|--------|----------------------------------------------------------------|--------------------|-----------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|--------------------------------------------------------------------|
|                                                     |                                                                       |                                            |                                                             | Code                         | v | (A) | (D)    | Date<br>Exercisable                                            | Expiration<br>Date | Title                                                                                         | Amount<br>or<br>Number<br>of<br>Shares |                                                     |                                                                                                                            |                                                                          |                                                                    |
| Restricted<br>Stock<br>Units                        | (1)                                                                   | 09/15/2020                                 |                                                             | М                            |   |     | 25,000 | (3)                                                            | (3)                | Common<br>Stock                                                                               | 25,000                                 | \$0                                                 | 25,000                                                                                                                     | D                                                                        |                                                                    |

Explanation of Responses:

1. Each restricted stock unit ("RSU") represents a contingent right to receive one share of Precigen common stock.

2. This sale was effected pursuant to the terms of a 10b5-1 plan adopted by the reporting person and was made in order to pay the tax liability arising from the vesting of RSUs.

3. The RSUs were granted on March 23, 2020 and the remaining 25,000 RSUs vest on December 15, 2020.

### **Remarks:**

## /s/ Donald P. Lehr

\*\* Signature of Reporting Person Date

09/17/2020

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $^{\ast}$  If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.